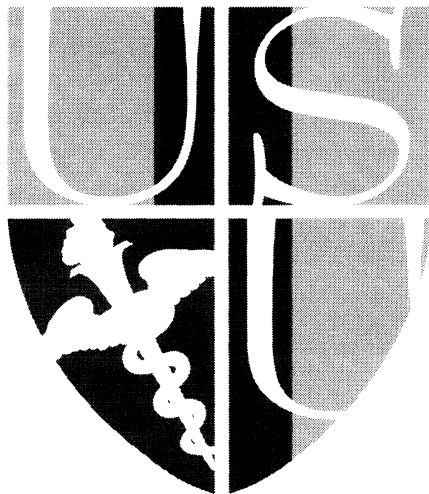


**USUHS  
INSTRUCTION  
3209**

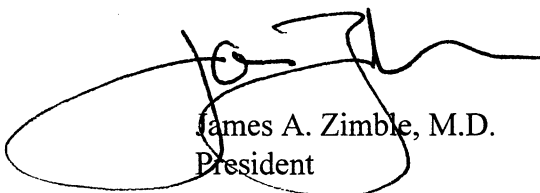




# USUHS



## DIRECTIVE SYSTEM TRANSMITTAL

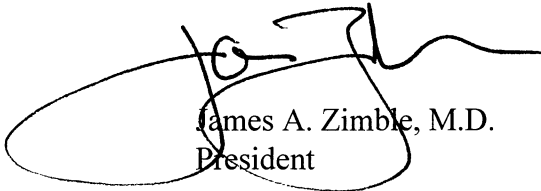
NUMBER USUHS I-3209 (REA) Change 1	DATE SEP 4 2001
ATTACHMENTS  None	
<p style="text-align: center;">INSTRUCTIONS FOR RECIPIENTS</p> <p>The following changes to USUHS Instruction 3209, "Determination of On-Site Versus Off-Site Support Cost Recovery Rate for Research Grants," dated March 25, 1999 have been authorized.</p> <p><b><u>Pen Changes</u></b></p> <p>Page 1, paragraph C., line 15, change <b>off-site</b> to <b>on-site</b> grants.</p> <p>Page 1, paragraph D., line 3, add after the word USUHS, "<b>and grants signed by the HMJF on behalf of the USUHS</b>, as well".</p> <p><b><u>Effective Date</u></b></p> <p>These changes are effective immediately.</p> <div style="text-align: center;"> James A. Zimble, M.D. President</div>	



# USUHS



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# UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES



## SUBJECT: Determination of On-Site versus Off-Site Support Cost Recovery Rate for Research Grants

Instruction 3209

MAR 25 1999

(REA)

### ABSTRACT

This Instruction establishes policies and assigns responsibilities for determining when to apply the on-site or off-site support cost recovery rate to Uniformed Services University of the Health Sciences (USUHS) grants that are administered by the Henry M. Jackson Foundation for the Advancement of Military Medicine (HMJF) in support of USUHS research projects.

**A. Purpose.** This Instruction establishes policies and assigns responsibilities in determining the on-site or off-site rate to be applied to USUHS grants administered by the HMJF.

**B. References.** None.

**C. Background.** Each year, the HMJF's cognizant agency (Defense Contracting Audit Agency [DCAA]) determines the support cost recovery rates that are applied to on-site and off-site grants administered through the HMJF. In the case of on-site grants (in agreement with stipulations between the USUHS and the HMJF), the USUHS recovers a portion of the cost for USUHS-provided space, utilities, and other grant-related administrative services for HMJF sponsored research conducted on campus. The USUHS is reimbursed by the HMJF for helping HMJF with its administration of off-site grants. However, in the case of off-site grants,

the USUHS currently receives no compensation from the Grantor for administrative services or other costs associated with the preaward administration of off-site research projects.

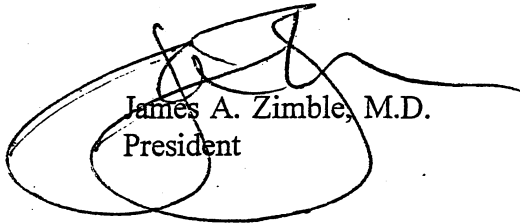
**D. Applicability.** This Instruction applies to all newly submitted grants or grant agreements signed by the USUHS, as well as any existing grant agreements that receive an extension beyond the original negotiated grant period or budget. This does not apply to faculty at affiliated teaching hospitals where USUHS students are trained.

**E. Definitions.** See *Enclosure 1*.

**F. Policy.** It is USUHS policy that the USUHS shall determine which USUHS research projects administered through the HMJF are eligible for off-site support cost recovery rates.

**G. Responsibilities.**

1. The Office of Research shall:
  - a. Determine whether the on-site or off-site support cost recovery rate applies on projects for which the Office of Research (REA) has cognizance using the guidelines set forth in *Enclosure 2*, the *Guidelines for Determination of On-Site versus Off-Site Support Cost Recovery Rates*; and
  - b. Communicate that determination to the HMJF.
2. The Vice President, Resource Management shall determine the USUHS support cost recovery rate and provide it in writing to REA.
3. The Principal Investigator shall:
  - a. Request the off-site support cost recovery rate from REA by completing and forwarding USUHS Form 3209, see *Enclosure 3*, to REA;
  - b. Challenge the rate determination by submitting a written request for reconsideration by the Vice President for Research.
4. The Vice President, Research shall reconsider challenges by the faculty on the rate determination when submitted in writing by the Principal Investigator (PI) and make the final rate decision.

  
James A. Zimble, M.D.  
President

**Enclosures:**

1. Definitions
2. Guidelines for Determination of On-Site versus Off-Site Support Cost Recovery Rates
3. USUHS Form 3209

## DEFINITIONS

1. On-site research is defined as research in which 75% or greater of research-related activities are conducted on-site (i.e., in USUHS buildings A [Packard Hall], B, C, D, 53, or 59, or space rented by the USUHS).

2. Off-site research is defined as research in which 75% or greater of research-related activities are conducted in space other than USUHS buildings A (Packard Hall), B, C, D, 53, or 59, or space rented by the USUHS.

3. A split cost recovery rate is defined as research with less than 75% and more than 25% of any project being conducted on-site or off-site. In this situation the project support cost recovery rate is apportioned proportionate to the allocation of work on-site or off-site as determined using USUHS Form 3209. This policy of splitting the cost recovery rate (e.g., x percent on-site

and y percent off-site) was earlier mandated by the HMJF's Federal Cognizant Agency, the Department of Health and Human Services (DHHS), and it has been continued by the present Federal Cognizant Organization, DCAA, through approval of cost accounting standards (CAS) disclosure statements in subsequent years.

4. Research-related activities include all components of a grant or grant agreement, including portions of the USUHS-funded salaries corresponding to the percent of effort stipulated on the grant for those USUHS individuals engaged in the project.

5. Calculation of on-site and off-site research costs will use the guidelines for Modified Total Direct Costs (MTDC) for the calculation (e.g., equipment costs will not be considered; only the first \$25,000 of external contracts will be used).

## GUIDELINES FOR DETERMINATION OF ON-SITE VERSUS OFF-SITE SUPPORT COST RECOVERY RATES

1. The REA will determine if an off-site rate is the appropriate rate based on information provided by the PI on USUHS Form 3209 (using MTDC guidelines), "Application for Off-site Support Cost Recovery Rate." **Projects that are designated as on-site do not need to provide this information.** If any percentage of the project is to be considered at an off-site rate, the PI must request this on USUHS Form 3209. If this is not done, the on-site rate will be used. The major factor to be considered in determining the rate is where the individuals are actually doing the work (office and <sup>or</sup> laboratory space). This determination can be made by REA prior to the submission of official grant documents by using a draft budget and USUHS Form 3209.

2. On-site research is defined as research in which 75% or greater of research-related activities are conducted on-site (i.e., in USUHS buildings A (Packard Hall), B, C, D, 53, or 59, or space rented by the USUHS). Off-site research is defined as research in which 75% or greater of research-related activities are conducted in space other than USUHS buildings A (Packard Hall), B, C, D, 53, or 59, or space rented by the USUHS. Research-related activities include all components of a grant or grant agreement, including portions of the USUHS funded

salaries corresponding to the percent of effort stipulated on the grant for those USUHS individuals engaged in the project.

3. If less than 75% and more than 25% of any project is conducted on-site or off-site then the project support cost recovery rate is determined on the basis of proportional use of work on-site or off-site.

4. For research involving activities at both a USUHS and a non-USUHS location, the total amount of grant money, as well as the USUHS-supported component (including the appropriate percentage of salaries attributable to each location) will be considered in making the determination of the support cost recovery rate. The information required for an appropriate determination includes the following:

- a. Who are the personnel working on this project;
- b. Where is (are) the office(s) located;
- c. Where is the work being performed; and
- d. What percent of the direct costs is attributed to the effort at the USUHS versus other sites.

5. The information must consider the personnel and space associated with all aspects of the research including:

- a. Data collection;
- b. Data analysis; and
- c. Preparation of research results for publication or presentation.

**USUHS FORM 3209**  
**APPLICATION for OFF-SITE**  
**SUPPORT COST RECOVERY RATE**

REA Date Stamp

Protocol Number: \_\_\_\_\_ (If known)

Principal Investigator: \_\_\_\_\_

USUHS Department: \_\_\_\_\_ Phone: \_\_\_\_\_

Project Title: \_\_\_\_\_

**RESEARCH ACTIVITIES**

Research activities are all components of the grant including data collection, data analysis, and preparation of research results for publication or presentation, and the portions of the USUHS-funded salaries corresponding to the percent of effort for those individuals engaged in the project (including anticipated borrow/loan requests).

**Answer the following based only on this project:**

Do you have USUHS office space?\* \_\_\_\_\_ Yes \_\_\_\_\_ No Room # \_\_\_\_\_

Do you have non-USUHS office space? \_\_\_\_\_ Yes \_\_\_\_\_ No Location \_\_\_\_\_  
Who pays the rent for the space? \_\_\_\_\_ USUHS \_\_\_\_\_ Grant

Do you have USUHS lab space?\* \_\_\_\_\_ Yes \_\_\_\_\_ No Room # \_\_\_\_\_

Do you have non-USUHS lab space? \_\_\_\_\_ Yes \_\_\_\_\_ No Location \_\_\_\_\_  
Who pays the rent for the space? \_\_\_\_\_ USUHS \_\_\_\_\_ Grant

\* USUHS buildings A, B, C, D, and space rented by USUHS.

**Location(s) for this Project: (list all)**

Location	Briefly describe project activities at each location
1.	
2.	
3.	
4.	

**Personnel for this Project: (list all; use TBD if not known)**

Name	% effort for this project	Source(s) of salary	Study location(s) of this project (list all)	Time at the location for this project (weeks/year)
1.			a.	
			b.	
			c.	





REA Date Stamp

**USUHS FORM 3209**  
**APPLICATION for OFF-SITE INDIRECT COSTS**  
**RESEARCH RATE**

**NOTE: Complete this form ONLY if you are applying for an off-site indirect cost rate**

**Protocol No.:** \_\_\_\_\_  
**Principal Investigator:** \_\_\_\_\_  
**Department:** \_\_\_\_\_ **Phone** \_\_\_\_\_  
**Project Title:** \_\_\_\_\_

**RESEARCH ACTIVITIES**

Research activities are all task components of the research grant including the protocol preparation, data collection, data analysis, and preparation of research results for publication or presentation, and the portions of the USUHS-funded salaries corresponding to the percent effort for those individuals engaged in the project (including anticipated "borrow/loans").

**Answer the following based only on this project:**

Do you have USUHS office space?\* \_\_\_\_\_ Yes \_\_\_\_\_ No Room # \_\_\_\_\_  
Do you have non-USUHS office space? \_\_\_\_\_ Yes \_\_\_\_\_ No Location \_\_\_\_\_  
Who pays rent for the space? \_\_\_\_\_ USUHS \_\_\_\_\_ Research Project  
Do you have USUHS lab space?\* \_\_\_\_\_ Yes \_\_\_\_\_ No Room # \_\_\_\_\_  
Do you have non-USUHS lab space? \_\_\_\_\_ Yes \_\_\_\_\_ No Location \_\_\_\_\_  
Who pays rent for the space? \_\_\_\_\_ USUHS \_\_\_\_\_ Research Project

\* USUHS buildings A, B, C, D, 53, 59, and/or space for which USUHS provides rent.

**Location(s) for this Project:** (list all)

Location	Briefly describe project activities at each location
1.	
2.	
3.	
4.	

**Personnel for this Project:** (list all; use TBA if not known)

Name	Source(s) of salary	Study location(s) (list all)	% of time worked at each location (total should equal 100%)
1.		a.	
		b.	
		c.	
2.		a.	
		b.	
		c.	

Name	Source(s) of salary	Study location(s) (list all)	% of time worked at each location <small>(total should equal 100%)</small>
3.		a.	
		b.	
		c.	
4.		a.	
		b.	
		c.	
5.		a.	
		b.	
		c.	
6.		a.	
		b.	
		c.	

#### **USUHS ASSURANCE COMMITTEES REQUIRED**

- ☐ BCD Biohazards, Controlled Substances, and Dangerous Materials Committee
- ☐ BIC Biomedical Instrumentation Center
- ☐ IRB Institutional Review Board (human subjects)

Where will subjects be seen? \_\_\_\_\_

- ☐ IACUC Institutional Animal Care and Use Committee

Where will the animals be used or housed? \_\_\_\_\_

- ☐ RSC Radiation Safety Committee
- ☐ UIS University Information Systems

#### **OTHER USUHS SUPPORT REQUIRED**

- ☐ Computer support from University Information Systems at USUHS
- ☐ Learning Resource Center electronic access

Submitted to REA: \_\_\_\_\_

(PI Signature)

(Date)

- REA Use Only -

Determination:

\_\_\_\_ On-site \_\_\_\_ Off-site \_\_\_\_\_  
(Initials ) (Date)

**USUHS FORM 3209**  
**APPLICATION for OFF-SITE**  
**SUPPORT COST RECOVERY RATE**

REA Date Stamp

Protocol Number: \_\_\_\_\_ (If known)

Principal Investigator: \_\_\_\_\_

USUHS Department: \_\_\_\_\_ Phone: \_\_\_\_\_

Project Title: \_\_\_\_\_

**RESEARCH ACTIVITIES**

Research activities are all components of the grant including data collection, data analysis, and preparation of research results for publication or presentation, and the portions of the USUHS-funded salaries corresponding to the percent of effort for those individuals engaged in the project (including anticipated borrow/loan requests).

**Answer the following based only on this project:**Do you have USUHS office space?\* ☐ Yes ☐ No Room # \_\_\_\_\_
 Do you have non-USUHS office space? ☐ Yes ☐ No Location \_\_\_\_\_  
 Who pays the rent for the space? ☐ USUHS ☐ Grant
Do you have USUHS lab space?\* ☐ Yes ☐ No Room # \_\_\_\_\_
 Do you have non-USUHS lab space? ☐ Yes ☐ No Location \_\_\_\_\_  
 Who pays the rent for the space? ☐ USUHS ☐ Grant

\* USUHS buildings A, B, C, D, and space rented by USUHS.

**Location(s) for this Project: (list all)**

Location	Briefly describe project activities at each location
1.	
2.	
3.	
4.	

**Personnel for this Project: (list all; use TBD if not known)**

Name	% effort for this project	Source(s) of salary	Study location(s) of this project (list all)	Time at the location for this project (weeks/year)
1.			a.	
			b.	
			c.	

Name	% effort for this project	Source(s) of salary	Study location(s) of this project (list all)	Time at the location for this project (weeks/year)
2.			a.	
			b.	
			c.	
3.			a.	
			b.	
			c.	
4.			a.	
			b.	
			c.	
5.			a.	
			b.	
			c.	

**USUHS ASSURANCE COMMITTEES REQUIRED**

- ☐ BCD     Biohazards, Controlled Substances, and Dangerous Materials Committee  
☐ BIC     Biomedical Instrumentation Center  
☐ IRB     Institutional Review Board (human subjects)

Where will subjects be seen? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- ☐ LARB     Laboratory Animal Review Board

Where will the animals be used or housed? \_\_\_\_\_

- ☐ RSC     Radiation Safety Committee  
☐ UIS     University Information Systems

**OTHER USUHS SUPPORT REQUIRED**

- ☐ Computer support from University Information Systems at USUHS  
☐ Learning Resource Center electronic access

Submitted to REA: \_\_\_\_\_

(Signature)

(Date)

- REA Use Only -

Determination:

\_\_\_\_\_ % On-site    \_\_\_\_\_ % Off-site    \_\_\_\_\_

(Signature )

(Date)